

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

VC

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

**09/889099**INTERNATIONAL APPLICATION NO.  
PCT/EP00/00147INTERNATIONAL FILING DATE  
11 January 2000PRIORITY DATE CLAIMED  
11 January 1999

## TITLE OF INVENTION

FLAT LIGHT SOURCE

## APPLICANT(S) FOR DO/EO/US

Kurt NATTERMANN et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND OR SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☒ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
  14. ☒ A substitute specification. (attached to a red-ink marked-up version of the English language translation)
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:
    - Letter to Draftsperson with five (5) sheets of drawings with changes shown in red ink
    - Form PCT/IB/301
    - Form PCT/IB/304
    - Form PCT/IB/308
    - Form PCT/ISA/210 (English language version, 3 pages)
    - Transmittal of Substitute Specification
    - Certificate of Mailing by Express Mail (2 pages)
    - Return Receipt Postcard

EXPRESS MAIL NO.: EL688021494US

MAILED: 11 July 2001

U.S. APPLICATION NO. (if known, see 37 CFR 1.45)

INTERNATIONAL APPLICATION NO.

ATTORNEY'S DOCKET NUMBER

PCT/EP00/00147

VO-542

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO ..... \$ 860.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$ 690.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$ 710.00Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$ 1,000.00International preliminary examination fee paid to USPTO (37 CFR 1.482) and  
all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 100.00**CALCULATIONS**

PTO USE ONLY

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS

NUMBER FILED

NUMBER EXTRA

RATE

Total claims

16\* - 20 =

0

X \$18.00

Independent claims

2\* - 03 =

0

X \$80.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$270.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 860.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement  
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).**SUBTOTAL =**

\$ 860.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

+

**TOTAL NATIONAL FEE =**

\$ 860.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an  
appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

\$ 860.00

\* Based upon entry of the First Preliminary Amendment.

Amount to be:

refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 860.00 to cover the above fee is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 19-3550. A duplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b))  
must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Pauley Petersen Kinne & Fejer  
2800 West Higgins Road, Suite 365  
Hoffman Estates, Illinois 60195  
(847) 490-1400  
Fax: (847) 490-1403

SIGNATURE

Douglas H. Pauley

NAME

33,295

REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Kurt NATTERMANN  
Volker SEIBERT  
Roland BÜRKLE  
Reinhard KASSNER

Title: FLAT LIGHT SOURCE

Based Upon: PCT/EP00/00147

Express Mail No.: EL688021494US

Date of Deposit: 11 July 2001

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**Box PCT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that the following requisites of the subject patent application are being deposited with the United States Postal Service as Express Mail Post Office to Addressee No. EL688021494US, on 11 July 2001, and is addressed to Box PCT, Assistant Commissioner for Patents, Washington, D.C. 20231, together with the items listed below.

- Transmittal Letter (Form PTO-1390), in duplicate
- English language translation of the International Application  
First Preliminary Amendment (12 pages)

Based Upon: PCT/EP00/00147

Transmittal of Substitute Specification

- Substitute Specification attached to red ink marked-up copy of the verified English language translation
- Letter to Draftsperson with five (5) sheets of drawings with changes shown in red ink
- Form PCT/IB/301
- Form PCT/IB/304
- Form PCT/IB/308
- English language copy of the International Search Report, Form PCT/ISA/210 - 3 pages
- A check in the amount of \$860.00 to cover the fees set forth in the Transmittal Letter
- Return Receipt Postcard

Respectfully submitted,



Douglas H. Pauley  
Regis. No. 33,295

Pauley Petersen Kinne & Fejer  
2800 West Higgins Road, Suite 365  
Hoffman Estates, Illinois 60195  
(847) 490-1400  
FAX (847) 490-1403

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Kurt NATTERMANN  
Volker SEIBERT  
Roland BÜRKLE  
Reinhard KASSNER

Title: FLAT LIGHT SOURCE

Based Upon: PCT/EP00/00147

Express Mail No.: EL688021494US

Date of Deposit: 11 July 2001

**TRANSMITTAL OF SUBSTITUTE SPECIFICATION**

**Box PCT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

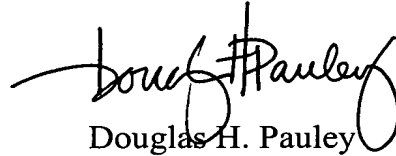
Applicants have enclosed a Substitute Specification attached to a red ink marked-up copy of the verified English language translation of PCT International Application PCT/EP00/00147. The red ink identifies changes to the verified English language translation which are incorporated in the Substitute Specification.

The Substitute Specification includes general revisions to correct idiomatic translational errors and to provide proper headings. The undersigned states that the Substitute Specification contains no new matter.

Based Upon: PCT/EP00/00147

Applicants sincerely believe that this patent application is now in condition for prosecution before the U.S. Patent and Trademark Office.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Douglas H. Pauley". The signature is fluid and cursive, with the first name "Douglas" and last name "Pauley" clearly distinguishable.

Douglas H. Pauley  
Regis. No. 33,295

Pauley Petersen Kinne & Fejer  
2800 West Higgins Road  
Suite 365  
Hoffman Estates, Illinois 60195  
(847) 490-1400  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Kurt NATTERMANN  
Volker SEIBERT  
Roland BÜRKLE  
Reinhard KASSNER

Title: FLAT LIGHT SOURCE

Based Upon: PCT/EP00/00147

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Date of Deposit: 11 July 2001

**LETTER TO DRAFTSPERSON**

**Box PCT**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Please amend the drawings by adding the Figure numbers, as shown in  
red ink on Figs. 1-5.

Respectfully submitted,



Douglas H. Pauley  
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